

Applicant, Patentee or Inventor: David W. LaFore and Kyle L. Brennan Attorney's
Application No. or Patent No.: 09/497,272 Docket No.: J99910 (3)
Filed or Issued: 2/3/00
Title: "Data Processing System and Method for Managing Broker Transaction Information"

**STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) AND 1.27(c)) - SMALL BUSINESS CONCERN**

I hereby declare that I am:

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN Data Technology Services
ADDRESS OF SMALL BUSINESS CONCERN 10920 West Alameda Avenue
Lakewood, CO 80226

I hereby state that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR Part 121, for purposes of paying reduced fees in the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when, either directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☒ the specification filed herewith with title as listed above.
☐ the application identified above.
☐ the patent identified above.

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights in the invention must file separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- ☒ no such person, concern, or organization exists.
☐ each such person, concern, or organization is listed below.

Separate statements are required from each named person, concern or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING David W. LaFore

TITLE OF PERSON IF OTHER THAN OWNER President

ADDRESS OF PERSON SIGNING 10920 West Alameda Avenue, Lakewood, CO 80226

SIGNATURE David W. LaFore DATE 02/01/2000

Applicant, Patentee or Identifier Kyle L. Brennan

Application or Patent No.: 09/497,272

FEB 23 2000

Attorney's

Docket No.: J99.10

Filed or Issued: 2/3/00

Title "Data Processing System and Method for Managing Broker Transaction Information"

**STATEMENT CLAIMING SMALL ENTITY
STATUS (37 CFR 1.9(f) AND 1.27(b)) - INDEPENDENT INVENTOR**

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention described in:

- ☐ the specification filed herewith with titled as listed above.
☒ the application identified above.
☐ the patent identified above.

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey or license any rights in the invention is listed below:

- ☒ no such person, concern or organization.
☐ each such person, concern or organization is listed below.

Separate statements are required from each named person, concern or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Kyle L. Brennan

NAME OF INVENTOR:

NAME OF INVENTOR:

NAME OF INVENTOR:

Signature of Inventor:

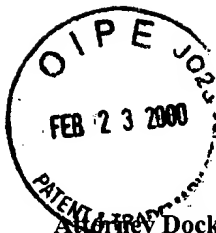
Signature of Inventor:

Signature of Inventor:

Date:

Date:

Date:



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Please type a plus sign (+) inside this box → ☐

**DECLARATION FOR UTILITY OR
DESIGN PATENT APPLICATION
(37 CFR 1.63)**

☒ Declaration Submitted with Initial Filing ☐ Declaration Submitted after Initial Filing (surcharge [37 CFR 1.16(e)] required)

Attorney Docket Number: J99.10
First Named Inventor: David W. LaFore

COMPLETE IF KNOWN
Application Number: 09/497,272
Filing Date: 2/3/00
Group Art Unit: _____
Examiner Name: _____

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled
"Data Processing System and Method for Managing Broker Transaction Information"
the specification of which

☒ is attached hereto
OR

☐ was filed on (MM/DD/YY) _____ as United States Application Number or PCT International Application Number _____ as was amended on (MM/DD/YY) _____ (if applicable).

I hereby stated that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR § 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or Inventor's certificate, or 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or Inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

			Certified Copy Attached ?	
			Yes	No
Priority Not Claimed				
<input checked="" type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>

_____ (Number)	_____ (Country)	_____ (Foreign Filing Date)
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached.

I hereby claim the benefit under 35 U.S.C. 119(e) of the United States provisional application(s) listed below.

_____ (Application Number)	_____ (Filing Date)
_____ (Application Number)	_____ (Filing Date)

☐ Additional provisional application numbers are listed on supplemental priority data sheet PTO/SB/02B attached hereto.

I hereby claim the benefit under 35 U.S.C. §120 of any United States application(s), or §365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application.

U.S. Parent Application or PCT
Parent Number

Parent Filing Date

Parent Patent Number
(if applicable)

U.S. Parent Application or PCT
Parent Number

Parent Filing Date

Parent Patent Number
(if applicable)

☐ Additional U.S. or PCT International application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached.

As named inventor, I hereby appoint the following practitioner(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith: ☒ Registered Practitioner(s) name/registration number listed below

Name

Registration Number

Gary D. Fields

19,604

Brent P. Johnson

38,031

☐ Additional registered practitioner(s) named on Supplemental Registered Practitioner Information sheet PTO/SB/02C attached hereto.

Direct all correspondence to: Fields & Johnson, P.C.

8480 East Orchard Road, Suite 5600, Englewood, CO 80111

Country: U.S.A.

Telephone: (303) 689-9100

Fax: (303) 689-9250

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Name of Sole or First Inventor

☐ A petition has been filed for this unsigned inventor

Given Name (first and middle [if any]) David W.

Family Name or Surname LaFore

Inventor's signature David LaFore

Date 02/01/2000

Residence 8963 West Phillips Drive, Littleton, CO 80128 Citizenship U.S.A.

Post Office Address 8963 West Phillips Drive, Littleton, CO 80128

City, State, Zip, Country Littleton, CO 80128 U.S.A.

Full name of second joint inventor, if any (given name, family name) Kyle L. Brennan

Second Inventor's signature Kyle L. Brennan

Date 2/01/2000

Residence 7286 South Chapparral Circle East, Aurora, CO 80016 Citizenship U.S.A.

Post Office Address 7286 South Chapparral Circle East, Aurora, CO 80016

City, State, Zip, Country Aurora, CO 80016 U.S.A.

☐ Additional inventors are being named on the _____ supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.